

# Solar, Heliospheric, and INterplanetary Environment (SHINE)

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## Program Solicitation

NSF 04-585

Replaces Document NSF 02-189



**National Science Foundation**

Directorate for Geosciences

Division of Atmospheric Sciences

**Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

August 25, 2004

Third Wednesday in August

annually after 2004

## SUMMARY OF PROGRAM REQUIREMENTS

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### General Information

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**Program Title:**

Solar, Heliospheric, and INterplanetary Environment (SHINE)

**Synopsis of Program:**

The solar and heliospheric research communities are dedicated to promoting enhanced understanding of, and predictive capabilities for, solar disturbances that propagate to the Earth. Broad-based, grass-roots associations such as SHINE have developed to focus community effort on these scientific questions. Proposals are solicited for research directly related to topics under consideration and discussion at community workshops organized by SHINE. Information on the current activities of SHINE may be found at the following web site: <http://www.shinegroup.org>

**Cognizant Program Officer(s):**

- Paul Bellaire, Program Director, Directorate for Geosciences, Division of Atmospheric Sciences, 775 S, telephone: (703) 292-8529, fax: (703) 292-9023, email: [pbellaire@nsf.gov](mailto:pbellaire@nsf.gov)

**Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):**

- 47.050 --- Geosciences

## Eligibility Information

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- **Organization Limit:** None Specified.
- **PI Eligibility Limit:** None Specified.
- **Limit on Number of Proposals:** None Specified.

## Award Information

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- **Anticipated Type of Award:** Standard or Continuing Grant
- **Estimated Number of Awards:** 6 to 8 - annually
- **Anticipated Funding Amount:** \$700,000 in FY 2005 for new awards, up to \$1.4M in FY 2006 for new awards and continuing increments, then up to \$2.0M annually in FY 2007 and beyond for new awards and continuing increments, pending the availability of funds

## Proposal Preparation and Submission Instructions

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### A. Proposal Preparation Instructions

- **Full Proposal Preparation Instructions:** Standard GPG Guidelines apply.

### B. Budgetary Information

- **Cost Sharing Requirements:** Cost Sharing is not required.
- **Indirect Cost (F&A) Limitations:** Not Applicable.
- **Other Budgetary Limitations:** Not Applicable.

### C. Due Dates

- **Full Proposal Deadline Date(s)** (due by 5 p.m. proposer's local time):  
August 25, 2004  
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annually after 2004

## Proposal Review Information

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- **Merit Review Criteria:** National Science Board approved criteria apply.

## Award Administration Information

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- **Award Conditions:** Standard NSF award conditions apply.
- **Reporting Requirements:** Standard NSF reporting requirements apply.

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## I. **INTRODUCTION**

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The solar physics program in the Upper Atmospheric Research Section of the Division of Atmospheric Sciences, National Science Foundation (NSF), solicits proposals to investigate the connections between eruptive events and magnetic phenomena on the Sun and the corresponding solar wind structures in the inner heliosphere. Proposals must meet the standards for intellectual merit and programmatic relevance of the Solar Terrestrial Research Program. The broader impact of submitted proposals will be evaluated by considering the relation of the proposed activity to science community goals, as exemplified by ongoing community-organized campaigns and objectives determined through an open and interactive process at SHINE workshops.

## II. **PROGRAM DESCRIPTION**

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This solicitation will consolidate and focus previous community efforts into a sustained SHINE research program. Pending availability of funds, the goal is to support steady growth towards a total SHINE program size of nearly \$2,000,000 by FY 2007.

SHINE research focuses upon the connections between eruptive events and magnetic phenomena on the Sun and the corresponding solar wind structures in the inner heliosphere. SHINE fosters research on those processes by which magnetic fields and particles produced by the Sun permeate interplanetary space and on the mechanisms by which these fields and particles are transported to geospace through the inner heliosphere. The goal of SHINE research is to enhance both our physical understanding and predictive capabilities for solar driven geoeffective events. SHINE is therefore complementary to, but distinct from, the National Space Weather Program initiatives undertaken by the National Science Foundation and other agencies. The emphasis of SHINE is on basic research into solar and heliospheric processes, while the focus of the National Space Weather Program is on practical applications for forecasting and mitigating the adverse effects of space weather on technological systems on the Earth and in near-Earth space.

Major topics under study by SHINE include: variations in the solar wind, interplanetary magnetic field, and plasma structure; the initiation and propagation of coronal mass ejections; and the production, transport, and acceleration of energetic particles. Proposals that utilize a broad range of approaches and methods are encouraged, but the relationship of the research to

SHINE goals must be made clear. Topics of relevance include but are not limited to:

1. Solar properties of coronal mass ejections (CMEs) and related phenomena, including their ultimate origin, precursors, and near-Sun evolution;
2. Interplanetary characteristics of CMEs, including their propagation through, and their interaction with, the background solar wind, including the linking of interplanetary and near-Sun phenomena;
3. Acceleration of solar energetic particles by eruptive phenomena on the Sun, such as flares and CMEs, and their subsequent transport and shock acceleration in the interplanetary medium;
4. Quasi-steady structure of the corona and interplanetary medium, as it relates to geoeffective phenomena in general (this includes understanding or characterizing the background solar wind and how it evolves, and its relationship to solar structures such as coronal holes, streamers, and filaments); and
5. Solar cycle dependence of the above phenomena.

Studies that seek to use multiple data sources (ground-based observations, space-based remote sensing, and *in situ* measurements) and which combine theory and modeling with analysis of observations are especially encouraged.

### III. ELIGIBILITY INFORMATION

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The categories of proposers identified in the [Grant Proposal Guide](#) are eligible to submit proposals under this program solicitation.

### IV. AWARD INFORMATION

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Under this solicitation, proposals may be submitted for any funding amount up to \$200,000 per year. A maximum duration of five years will be considered in those exceptional cases where the justification and promise are compelling. Typically, SHINE awards are for three years, but proposers may request from one to five years of funding, provided the requested duration is justified. NSF expects to fund approximately 6 to 8 standard or continuing grants annually, depending on the quality of submissions and the availability of funds.

Steady growth towards a total SHINE program size of nearly \$2.0M is expected. The anticipated funding profile is approximately \$700,000 in FY 2005 for new awards, up to \$1.4M in FY 2006 for new awards and continuing increments, then up to \$2.0M annually in FY 2007 and beyond for new awards and continuing increments, pending the availability of funds. Award dates are anticipated annually to be in the December-January time frame.

## V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

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### A. Proposal Preparation Instructions

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#### Full Proposal Instructions:

Proposals submitted in response to this program announcement/solicitation should be prepared and submitted in accordance with the general guidelines contained in the NSF *Grant Proposal Guide* (GPG). The complete text of the GPG is available electronically on the NSF Website at: <http://www.nsf.gov/cgi-bin/getpub?gpg>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [pubs@nsf.gov](mailto:pubs@nsf.gov).

Proposers are reminded to identify the program announcement/solicitation number (04-585) in the program announcement/solicitation block on the NSF *Cover Sheet For Proposal to the National Science Foundation*. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

### B. Budgetary Information

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#### Cost Sharing:

Cost sharing is not required in proposals submitted under this Program Solicitation.

### C. Due Dates

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Proposals must be submitted by the following date(s):

#### Full Proposal Deadline(s) (due by 5 p.m. proposer's local time):

August 25, 2004

Third Wednesday in August  
annually after 2004

### D. FastLane Requirements

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Proposers are required to prepare and submit all proposals for this announcement/solicitation through the FastLane system. Detailed instructions for proposal preparation and submission via FastLane are available at: <https://www.fastlane.nsf.gov/a1/newstan.htm>. For FastLane user support, call the FastLane Help Desk at 1-800-673-6188 or e-mail [fastlane@nsf.gov](mailto:fastlane@nsf.gov). The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this program announcement/solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this announcement/solicitation.

*Submission of Electronically Signed Cover Sheets.* The Authorized Organizational Representative (AOR) must electronically sign the proposal Cover Sheet to submit the required proposal certifications (see Chapter II, Section C of the [Grant Proposal Guide](#) for a listing of the certifications). The AOR must provide the required electronic certifications within five working days following the electronic submission of the proposal. Proposers are no longer required to provide a paper copy of the signed Proposal Cover Sheet to NSF. Further instructions regarding this process are available on the FastLane Website at: <http://www.fastlane.nsf.gov>

## VI. PROPOSAL REVIEW INFORMATION

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### A. NSF Proposal Review Process

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Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by Program Officers charged with the oversight of the review process. NSF invites the proposer to suggest, at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority-serving institutions, or adjacent disciplines to that principally addressed in the proposal.

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 ([NSB 97-72](#)). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

On July 8, 2002, the NSF Director issued [Important Notice 127](#), Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions.

In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative.

Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects.

The two National Science Board approved merit review criteria are listed below (see the [Grant Proposal Guide](#) Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments.

#### **What is the intellectual merit of the proposed activity?**

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

#### **What are the broader impacts of the proposed activity?**

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

#### ***Integration of Research and Education***

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide

abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives.

### ***Integrating Diversity into NSF Programs, Projects, and Activities***

Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## **B. Review Protocol and Associated Customer Service Standard**

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All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Proposals submitted in response to this announcement/solicitation will be reviewed by Ad Hoc and/or panel review.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

A summary rating and accompanying narrative will be completed and submitted by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers, are sent to the Principal Investigator/Project Director by the Program Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

NSF is striving to be able to tell proposers whether their proposals have been declined or recommended for funding within six months. The time interval begins on the closing date of an announcement/solicitation, or the date of proposal receipt, whichever is later. The interval ends when the Division Director accepts the Program Officer's recommendation.

In all cases, after programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications and the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at their own risk.

## **VII. AWARD ADMINISTRATION INFORMATION**

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### **A. Notification of the Award**

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Notification of the award is made to *the submitting organization* by a Grants Officer in the Division of Grants and Agreements. Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program Division administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator. (See section VI.A. for additional information on the review process.)

### **B. Award Conditions**

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An NSF award consists of: (1) the award letter, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award letter; (4) the applicable award conditions, such as Grant General Conditions (NSF-GC-1); \* or Federal Demonstration Partnership (FDP) Terms and Conditions \* and (5) any announcement or other NSF issuance that may be incorporated by reference in the award letter. Cooperative agreement awards also are administered in accordance

with NSF Cooperative Agreement Terms and Conditions (CA-1). Electronic mail notification is the preferred way to transmit NSF awards to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

\*These documents may be accessed electronically on NSF's Website at [http://www.nsf.gov/home/grants/grants\\_gac.htm](http://www.nsf.gov/home/grants/grants_gac.htm). Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [pubs@nsf.gov](mailto:pubs@nsf.gov).

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, available electronically on the NSF Website at <http://www.nsf.gov/cgi-bin/getpub?gpm>. The GPM is also for sale through the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402. The telephone number at GPO for subscription information is (202) 512-1800. The GPM may be ordered through the GPO Website at <http://www.gpo.gov>.

### C. Reporting Requirements

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For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

Within 90 days after the expiration of an award, the PI also is required to submit a final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for the PI and all Co-PIs. PIs should examine the formats of the required reports in advance to assure availability of required data.

PIs are required to use NSF's electronic project reporting system, available through FastLane, for preparation and submission of annual and final project reports. This system permits electronic submission and updating of project reports, including information on project participants (individual and organizational), activities and findings, publications, and other specific products and contributions. PIs will not be required to re-enter information previously provided, either with a proposal or in earlier updates using the electronic system.

### VIII. CONTACTS FOR ADDITIONAL INFORMATION

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General inquiries regarding this program should be made to:

- Paul Bellaire, Program Director, Directorate for Geosciences, Division of Atmospheric Sciences, 775 S, telephone: (703) 292-8529, fax: (703) 292-9023, email: [pbellair@nsf.gov](mailto:pbellair@nsf.gov)

For questions related to the use of FastLane, contact:

- Ruth E. Joel, Directorate for Geosciences, Division of Atmospheric Sciences, 775 S, telephone: (703) 292-8522, fax: (703) 292-9022, email: [rjoel@nsf.gov](mailto:rjoel@nsf.gov)

### IX. OTHER PROGRAMS OF INTEREST

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The NSF *Guide to Programs* is a compilation of funding for research and education in science, mathematics, and engineering. The NSF *Guide to Programs* is available electronically at <http://www.nsf.gov/cgi-bin/getpub?gp>. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter.

Many NSF programs offer announcements or solicitations concerning specific proposal requirements. To obtain additional

information about these requirements, contact the appropriate NSF program offices. Any changes in NSF's fiscal year programs occurring after press time for the *Guide to Programs* will be announced in the NSF [E-Bulletin](#), which is updated daily on the NSF Website at <http://www.nsf.gov/home/ebulletin>, and in individual program announcements/solicitations. Subscribers can also sign up for NSF's [Custom News Service](http://www.nsf.gov/home/cns/start.htm) (<http://www.nsf.gov/home/cns/start.htm>) to be notified of new funding opportunities that become available.

There are four other programs related to the Solar Heliospheric and INTERplanetary Environment program.

The National Space Weather Program (NSWP) is handled by the Upper Atmospheric Research Section of the Division of Atmospheric Sciences (which includes the Aeronomy, Magnetosphere, and Solar-Terrestrial Physics Programs). The Geospace Environment Modeling (GEM) program is handled by the Magnetosphere Program, and the Coupling and Energetic Dynamics of Atmospheric Regions (CEDAR) program is handled through the Aeronomy Program. A new combined SHINE, GEM, CEDAR Postdoc funding program is also active.

## ABOUT THE NATIONAL SCIENCE FOUNDATION

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The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Awardees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals from all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities and persons with disabilities to compete fully in its programs. In accordance with Federal statutes, regulations and NSF policies, no person on grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NSF, although some programs may have special requirements that limit eligibility.

*Facilitation Awards for Scientists and Engineers with Disabilities* (FASSED) provide funding for special assistance or equipment to enable persons with disabilities (investigators and other staff, including student research assistants) to work on NSF-supported projects. See the GPG Chapter II, Section D.2 for instructions regarding preparation of these types of proposals.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website at <http://www.nsf.gov>

- **Location:** 4201 Wilson Blvd. Arlington, VA 22230
- **For General Information** (NSF Information Center): (703) 292-5111
- **TDD (for the hearing-impaired):** (703) 292-5090
- **To Order Publications or Forms:**

Send an e-mail to: [pubs@nsf.gov](mailto:pubs@nsf.gov)

or telephone: (703) 292-7827

## PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

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The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to applicant institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing information as part of the review process or in order to coordinate programs; and to another Federal agency, court or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

An agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Division of Administrative Services, National Science Foundation, Arlington, VA 22230.

OMB control number: 3145-0058.